

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney Docket No. 09857-0030001	Application No. 09/404,518
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Stuart Serkin et al.	
		Filing Date September 23, 1999	Group Art Unit 3692

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	1						
	2						
	3						
	4						
	5						
	6						
	7						
	8						
	9						
	10						

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	11							
	12							
	13							
	14							
	15							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	16	"Big Board Seeks Changes in its 15-year-old Automated Bond System", 15 July 1991, Securities Week, p. 3.
	17	Biais et al, "An Empirical Analysis of the Limit Order Book and the Order Flow in the Paris Bourse," December 1995, Journal of Finance, vol. 50, no. 5, pp. 1655-1690.
	18	"Technology: NASDAQ Upgrading Software to Address SelectNet Traffic", 9 June 1997, Wall Street Letter, vol. 29, no. 22.
	19	NASD Rulemaking: Relating to an Integrated Order Delivery and Execution System SECURITIES AND EXCHANGE COMMISSION (Release No. 34-39718; File No. SR-NASD-98-17) March 4, 1998

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	